

CEIM-IR  Office Memorandum 25-1-98	Department of the Army U.S. Army Corps of Engineers Washington, DC 20314-1000	OM 25-1-98  29 January 1999
	Information Management  <b>FILES MAINTENANCE</b>	
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CEIM-IR

DEPARTMENT OF THE ARMY  
U.S. Army Corps of Engineers  
Washington, DC 20314-1000

OM 25-1-98

Memorandum  
No. 25-1-98

29 January 1999

Information Management  
FILES MAINTENANCE

1. Purpose. This memorandum assigns responsibilities and establishes procedures for the supervision, and execution of HQUSACE Files Maintenance.
2. Applicability. This policy applies to all HQUSACE elements.
3. References.
  - a. AR 25-1, The Army Information Resources Management Program.
  - b. AR 25-400-2, The Modern Army Recordkeeping System (MARKS).
  - c. AR 340-21, The Army Privacy Program.
  - d. DA PAM 25-1-1, Installation Information Services
4. Distribution. Approved for public release; distribution is unlimited.
5. Responsibilities.
  - a. HQUSACE Directors and Chiefs shall:
    - (1) Appoint a qualified Records Management Coordinator (RMC) to administer Files Maintenance responsibilities at the Directorate/Office level.
    - (2) Appoint a Records Management Assistant (RMA) for each Division and Branch to assist the RMC. Small Offices may not require the appointment of a RMA. In those instances, the RMC may be dual-hatted and shall perform the RMC and RMA duties.
    - (3) Submit in writing the RMC and RMA designations to CEHEC-IM.
    - (4) Ensure compliance at all levels with procedures prescribed in the above referenced regulations and this memorandum.

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(5) Ensure all records are properly identified and maintained under the Modern Army Recordkeeping System (MARKS).

(6) Ensure list of file numbers are developed and maintained for all offices.

b. The Records Manager (RM) shall:

(1) Develop and maintain Files Maintenance policy guidance and provide technical assistance.

(2) Review the SF 135 and continuation sheets and ensure the records are properly arranged in compliance with MARKS; and mark the boxes for shipment.

(3) Coordinate the records transfer, retirement, retrieval and destruction of records with the Washington National Records Center (WNRC).

(4) Maintain a copy of the approved SF 135 and continuation sheets from the WNRC.

(5) Maintain a listing of active RMC and Records Management Assistants.

(6) Ensure Files Maintenance training is provided for administrative staff and action officers.

(7) Perform Files Maintenance and Technical HQUSACE Records Management oversight responsibilities.

(8) Ensure MARKS regulations and directives are provided to all offices.

c. HQUSACE Records Management Coordinators (RMCs) shall:

(1) Act as liaison between the Records Manager (RM), and Records Management Assistants.

(2) Provide Files Maintenance and disposition guidance to offices.

(3) Provide MARKS regulations and directives to offices.

(4) Ensure that a List of File Numbers is prepared and updated as necessary, for all areas maintaining files. Submit copies to the RM for review and approval. Retain a "master copy" of all approved lists maintained by functional areas. (See Figure C-1)

(5) Ensure proper identification and labeling of all files and filing equipment under the provisions of The Modern Army Recordkeeping System (MARKS).

(6) Ensure that all files are systematically reviewed, cutoff, destroyed or transferred to the WNRC as prescribed in AR 25-400-2 and this memorandum.

(7) Supervise, oversee, provide guidance, or accomplish the packing of files and review the Standard Form 135 and continuation sheets for accuracy and completeness prior to submittal to the RM.

(8) Retain a copy of the completed SF 135 and continuation sheets for retrieval purposes.

(9) Advise the RM when it is known that records/files are to be transferred to or from HQUSACE, or between organizational elements.

(10) Assist in conducting surveys, inventories, or other special projects on records management activities within their functional areas.

d. HQUSACE Records Management Assistants shall:

(1) Prepare and maintain a List of File Numbers.

(2) In accordance with MARKS, systematically review, cutoff, destroy and or transfer records to the WNRC.

(3) Prepare the SF 135 and continuation sheets.

(4) Pack the boxes for shipment to the WNRC.

(5) Coordinate retrieval of records from the WNRC with the user and the RM.

(6) Annually, establish new files.

6. Procedures. Appendixes A through F contain procedural guidance on the provisions of this memorandum.

FOR THE COMMANDER:

A handwritten signature in black ink, appearing to read "Albert J. Genetti, Jr.", is written over a horizontal line.

**ALBERT J. GENETTI, JR.**  
Major General, USA  
Chief of Staff

6 Appendixes  
App A - Retirement of Records  
App B - Retrieval of Records  
App C - List of File Numbers  
App D - Labeling  
App E - Destruction of Records  
App F - Definitions

## APPENDIX A

### RETIREMENT OF RECORDS WASHINGTON NATIONAL RECORDS CENTER

A-1. All offices will prepare the SF 135 (Records Transmittal and Receipt) and continuation sheets to retire records into the Washington National Records Center (WNRC) in accordance with Chapter 9, AR 25-400-2. (See Figure A-1). The SF 135 and continuation sheets are available in electronic format. Plain bond paper may be used for continuation sheets. The following supplements those instructions:

a. The SF 135 and continuation sheets will include the box number, a brief description of the records, i.e., file name or contract number, and any other information that would be beneficial to assist in the identification and retrieval of records at a later date. The records contained on each SF 135 and in each box must all have the same disposition date.

b. Four (4) copies of the SF 135 and continuation sheets will be sent to the Records Management Coordinator (RMC) for review.

c. The SF 135 and continuation sheets will be sent to the Records Manager.

A-2. The Records Manager will:

a. Review the SF 135 and continuation sheets and review the boxes.

b. Assign an accession number.

c. Mark each box with the number in relation to the total shipment (1 of 5, 2 of 5, 3 of 5, etc.) with black felt-tip marker in the upper right-hand corner. Lettering should be approximately 1" to 2" in height. (See Figure A-2)

d. Make arrangements to have the records picked up by the WNRC.

e. Provide one copy of the signed SF 135 and continuation sheets to the appropriate office area.

A-3. The following instructions will be used when packing boxes for the WNRC:

a. Standard Record Storage Containers (14 3/4" x 12" x 9 1/2") will be used to send both letter and legal-sized records to the WNRC. The boxes are available from the local Defense Supply Service of Washington (DSSW) office.

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<b>RECORDS TRANSMITTAL AND RECEIPT</b>						Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.			PAGE 1	OF 2 PAGES
<b>1. TO</b> (Complete the address for the records center serving your area as shown in 36 CFR 1228.150) <div style="text-align: center;"><b>Federal Records Center</b></div> Washington National Records Center 4205 Suitland Road Suitland, MD 20746-8001						<b>5. FROM</b> (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address) HQ US Army Corps of Engineers ATTN: CEIM-IR 20 Massachusetts Avenue, NW Washington, DC 20314-1000				
<b>2. AGENCY TRANSFER AUTHORIZATION</b>		TRANSFERRING AGENCY OFFICIAL (Signature and title) Linda K. Worthington USACE Records Administrator			DATE 0/0/00					
<b>3. AGENCY CONTACT</b>		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Doris Porter HQ Records Coordinator								
<b>4. RECORDS CENTER RECEIPT</b>		RECORDS RECEIVED BY (Signature and title)			DATE					

Fold Line

<b>6. RECORDS DATA</b>												
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG (a)	FY (b)	NUMBER (c)	(d)	(e)	(f)	(g)	(h)	(i)	LOCATION (j)	SHELF PLAN (k)	CONT. TYPE (l)	AUTO DISP. (m)
			4	1-4	HEADQUARTERS, DEPARTMENT OF THE ARMY  These files do not contain, as prescribed by AR 380-13, information on persons or organizations not affiliated with the Department of Defense.  Policy Review Division, Civil Works Projects, Linda Ellerbe	N	AR 1110-2-50A Series					
				1-4	Pearl River Basin, FL - 1987 Pearlinton LA, MS - 1986 Pelucia Creek Levees - 1991 Penobscot River, ME - 1990 Perry Creek, Sioux City, LA - 1992	N	1110-2-50A	PERM				
				2-4	Phoenix Metro, Oldcross Canal - 1990 Pine Island Bayou, TX - 1985 Platte River Steambank - 1990 Port Everglade Harbor, FL - 1990							

135-107
Standard Form 135 (Rev. 7-85)  
Prescribed by NARA  
36 CFR 1228.152  
USAPPC V1.10

Figure A-1. Sample SF 135  
A-2

## INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

### FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

- Col.* **Accession Number.** A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:
- (a) The NARA record group number assigned to the records of the agency making the transfer;
  - (b) The last two digits of the current fiscal year; and
  - (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
  - (d) **Volume.** Enter the volume in cubic feet of each series of records being transferred.
  - (e) **Agency Box Numbers.** Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
  - (f) **Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
  - (g) **Restriction.** Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Code	Restrictions
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use-witnessed disposal not required (specify in column (f))
W	Restricted use-witnessed disposal required (specify in column (f))
N	No restrictions

- (h) **Disposal Authority.** For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARA disposal job and item number if it has not been incorporated into an updated agency schedule.
- (i) **Disposal Date.** Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

### FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

*Col.*

- (j) **Location.** The records center annotates the shelf location of the first carton for each series of records.
- (k) **Shelving Plan.** The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) **Container Type.** The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.
- (m) **Automatic Disposal.** The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

Standard Form 135 Back (Rev. 7-85)

Figure A-1. Sample SF 135  
A-3



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RECORDS TRANSMITTAL AND RECEIPT (Continuation)				This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.		TRANSFERRING AGENCY'S NAME CEIM-IR		DATE 0/0/00		PAGE 2 OF 2 PAGES		
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records) (f)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)	DISPOSAL DATE (i)	COMPLETED BY RECORDS CENTER			
RG (a)	FY (b)	NUMBER (c)							LOCATION (j)	SHELF PLAN (k)	CONT. TYPE (l)	AUTO. DISP. (m)
			4	3-4 4-4	Miami Harbor Channel - 1989 Rio Puerto Nuevo - 1992 Upper MS River System Env - 1992 Upper MS River - Navigation Study - 1991	N	1110-2-50a	PERM				

NSN 7540-00-823-7952  
Previous edition usable

135-204

Standard Form 135-A (Rev. 7-85)  
Prescribed by NARA  
35 CFR 1.228, 1.52  
USAPPC V1.10

Figure A-1. Sample SF 135  
A-4

b. All material must be in folders, binders, or envelopes, as appropriate. The “hanging” folder may not be used for records being sent to the WNRC. Records may not be packed loose or wrapped with rubber bands.

c. Letter size folders must face the front of the box (the side without staples), and legal size folders must face the left side of the box. All folders must be in the same order as listed on the SF 135.

d. Do not overpack the boxes or write any additional information on the boxes.

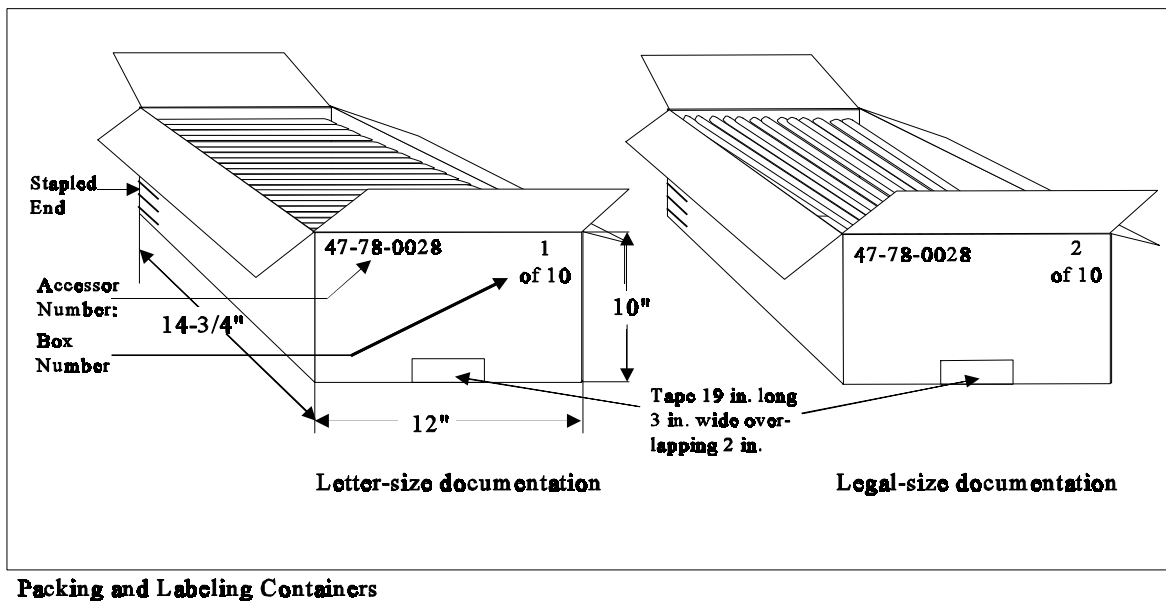


Figure A-2

A-4. The following instructions will be followed when sending records to the WNRC.

a. Do not mix permanent and temporary records in the same accession. Do not mix two or more series of permanent records in the same accession. An accession is defined as a “block of records having the same disposition authority (the MARKS No.) and the same disposal date.

b. Each accession must be listed on a separate SF 135 and transferred separately.

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- c. Each SF 135 must have a complete box listing of all folders, binders and envelope titles. Files may be listed alphabetically, numerically or by date. File name should always be listed.
- d. Offices should keep a copy of the SF 135 and continuation sheets for future records retrieval purposes.

APPENDIX B

RETRIEVAL OF RECORDS  
WASHINGTON NATIONAL RECORDS CENTER

All offices desiring to retrieve records for reference from the Washington National Records Center (WNRC) should send an e-mail message to CEHEC-IM with the following information:

- a. Accession Number
- b. Box number (5 of 10) or box number and file name (5 of 10, South Atlantic Bay).
- c. Point of contact, telephone number and date needed.

## APPENDIX C

### LIST OF FILE NUMBERS

All offices maintaining files are required to prepare a List of File Numbers in accordance with para 5-13, AR 25-400-2. The following supplements those instructions:

- a. Lists should be preceded with identification of the office (Division, Branch, Section, Unit, etc.); name and telephone number of the person who prepared the list; name of approving supervisor (with space for signature and date); name of reviewing/approving RMC (with space for signature and date); and space for signature of RM upon review/approval. (See Figure C-1)
- b. Lists will be prepared on plain bond paper and include file number, file title, brief description of actual documents included under that number, and the disposition appropriate for the office maintaining those files.
- c. Those files subject to the Privacy Act should be annotated with the Privacy Act System Notice Number indicated at the file number description in AR 25-400-2. Records maintained in other than paper form (i.e., microforms, magnetic media, etc.) should also be identified as such on the list.
- d. The RMCs will provide guidance to Records Management Assistants for preparing the lists, and will review for accuracy and compliance prior to submitting them in duplicate to the RM for approval. The RM will review submitted lists and return originals (initialed as approved) to the RMC for forwarding to the Records Management Assistants.
- e. New lists of file numbers will be prepared and submitted to the RM for approval when changes occur.

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LIST OF FILE NUMBERS  
DIVISION, BRANCH, SECTION  
PAGE \_\_\_\_\_ OF \_\_\_\_\_

Prepared by \_\_\_\_\_ (Ext. No. \_\_\_\_\_)

Reviewed/Approved: (name, title, signature of supervisor, and date)

Reviewed/Approved: (name and signature of RMC, and date)

Approved: \_\_\_\_\_ (space for initials of RM and date)

<u>FILE NUMBER</u>	<u>TITLE/BRIEF DESCRIPTION</u>	<u>DISPOSITION</u>	<u>PRIVACY ACT</u>	<u>MEDIA</u>
1b	Office General Management Parking and traffic control	Destroy after 1 year		Paper
1c	Office Inspection and Survey IG Inspection Reports	Destroy after the next comparable survey or inspect.		Tape
1f	Office Organization Files TDA, personnel, manpower, other related information	Destroy when no longer needed for current operations		Paper
1y	Office Personnel Registers Personnel sign-in sheets	Destroy after 6 months	A0001aTAPC	Paper
385-10g	Target Practice Safety Files Firing safety measures, area involved, and so forth	Destroy after 1 year, safety cards after 2 years		Paper
640-3c	Identification Card Registers Military identification card accountability registers	Destroy after 5 years.	AO640-3CFSC	Microfilm

Figure C-1

## APPENDIX D

### LABELING

All offices maintaining files are required to maintain them in accordance with Chapter 6, AR 25-400-2. The following supplements those instructions:

- a. Labels are to be prepared for all folders and containers used to store official records.
- b. When “hanging” folders are used for records to be destroyed in the current files area, labels may be placed on the “hanging” folders.
- c. Labels will include the file number, file title, disposition instructions. Calendar (CY) or fiscal year (FY) and Privacy Act System Notice Number will be placed on label, if applicable. (See Figure D-2)
- d. File Labels will be placed on a standard file folder in the 1st, 2nd or 3rd position. (See Figure D-3)
- e. A “Dummy” folder with a label containing required label entries should be used. (See Figure D-4)
- f. File containers and binder labels will be prepared (see Figures D-5 and D-6).

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#### ELEMENTS OF A FILE LABEL

FILE NUMBER	FILE FOLDER NAME	DATE
DISPOSITION INSTRUCTIONS		

Figure D-1

#### SAMPLE LABEL

FILE NUMBER	FILE FOLDER NAME	DATE
37-105d	T&A REPORTS & LEAVE RECORD CARDS Privacy Act: A0037-105a SAFM	(CY 90)
COFF 31 DEC 90, DEST 1 JAN 97		

Figure D-2

Note: Examples of a few files that would not require a date.

Office File Number  
Policies & Precedents  
Records Mgmt. Survey  
Security Clearance Information  
Job Descriptions  
Accountable Property



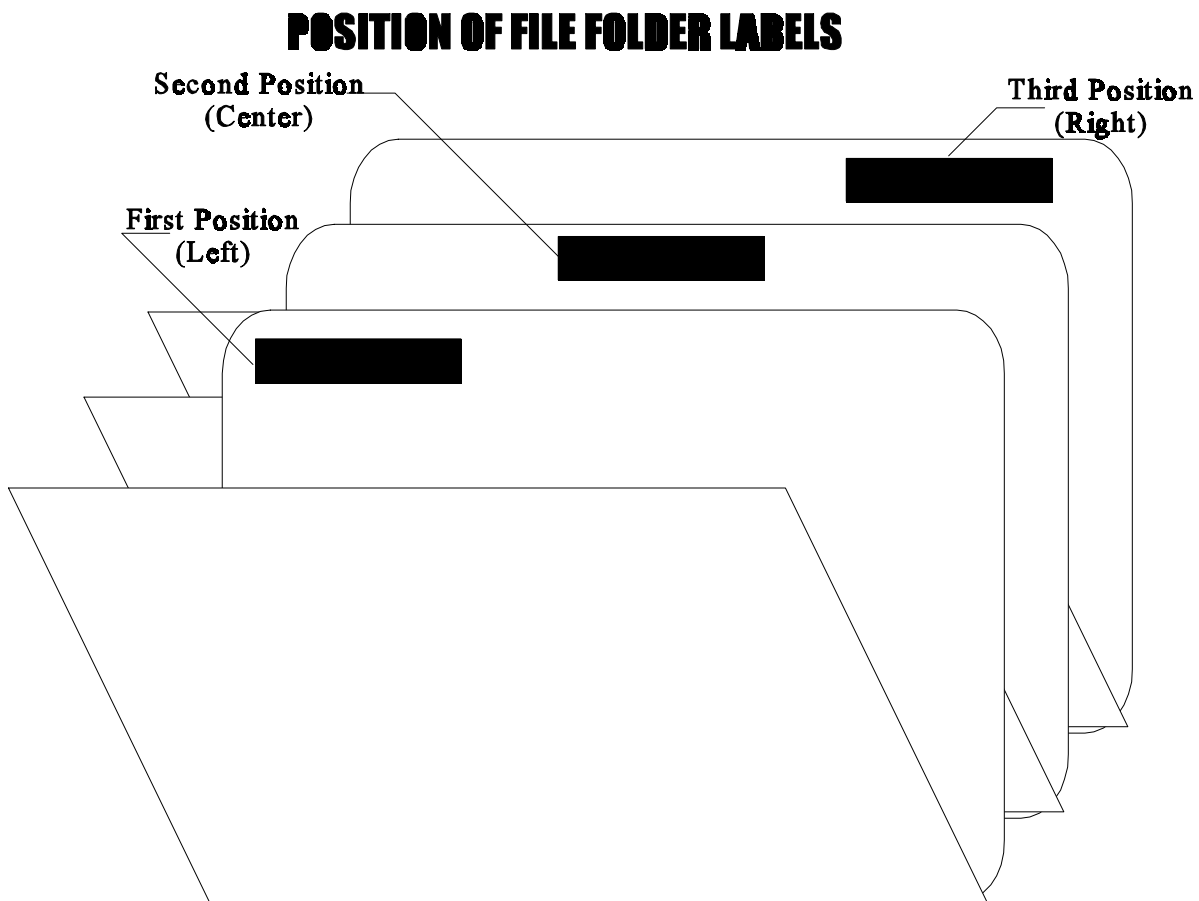


Figure D-3

Position of Folder Labels. Folder labels are placed to denote position as indicated below:

- a. First position (left of center) - Files to be destroyed in the current files area. Standard Time: Dispositions with 1 month to 3 years before destruction.
- b. Second position (center) - Files to be destroyed in the Washington National Records Center (WNRC). Standard Time: Dispositions with 4 years to 10 years before destruction.
- c. Third position (right of center) - Files to be retired to the WNRC. Standard Time: 11 years to Permanent.

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### USE OF "DUMMY" FOLDER

614-162a Special Force Volunteer Applications  
Privacy Act: A0640-10a TAPC

Active  
PIF after transfer or separation of the individual

.....(Taped Shut).....

614-162a Special Force Volunteer Applications (91)  
Privacy Act: A0640-10a TAPC

Active  
COFF 31 Dec 91, DEST 1 Jan 93

.....(Taped Shut).....

Figure D-4

If there are several folders under one file number, a "dummy" folder may be used.

## LABELING OF FILE DRAWERS

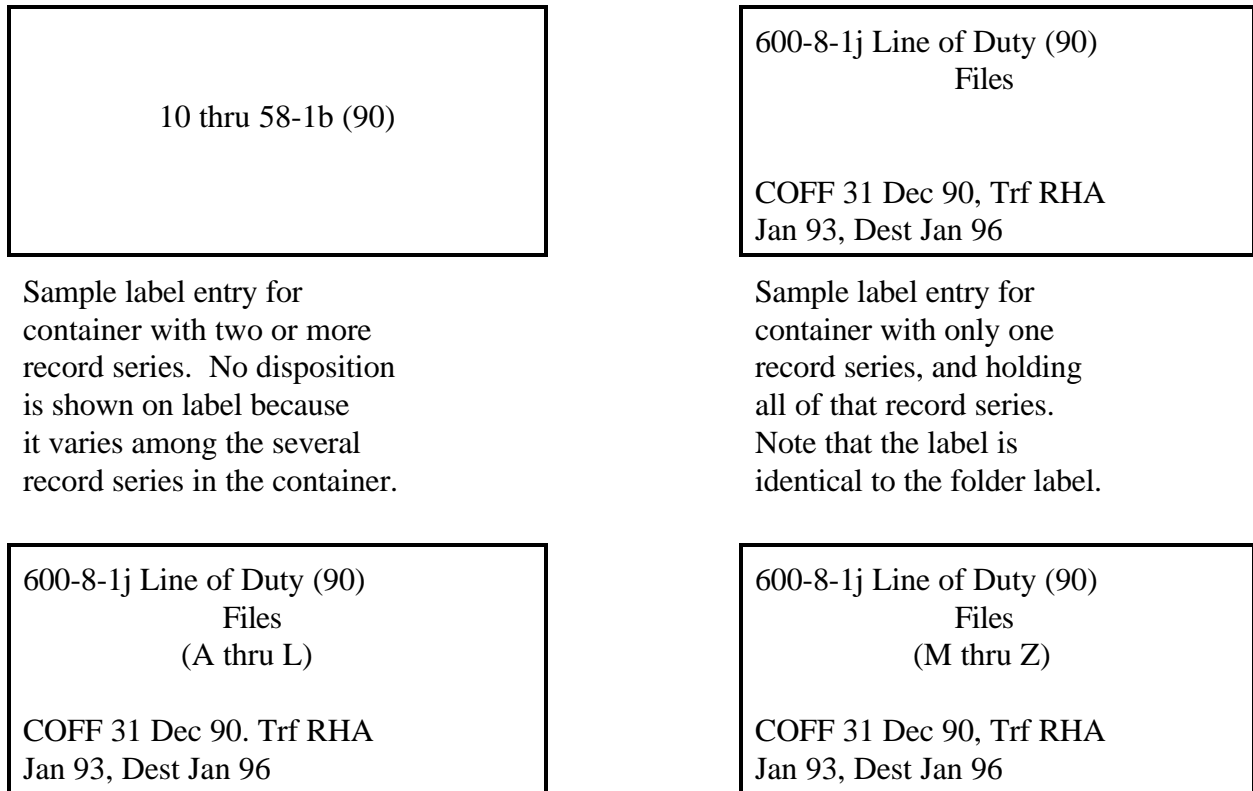


Figure D-5

Sample label entries for drawers that contain only part of one record series. In the example given above (A thru L) and (M thru Z) represent an alphabetical file arrangement. If files are identified numerically, use numbers instead of letters.

# BINDER LABELS

1jj Ref Pubs ARs 1-200 thru 340-21  Dest when supsd, obs, no longer needed for reference	1jj Ref Pubs ARs 350-1 thru 352-3	1jj Ref Pubs ARs 352-3 thru 385-40	1jj Ref Pubs ARs 385-40 thru 420-10

Sample label entries for binders containing reference publications

Figure D-6

APPENDIX E

DESTRUCTION OF RECORDS  
WASHINGTON NATIONAL RECORDS CENTER

The Records Manager, HQUSACE Records Coordinators, and HQ functional proponents (the office which created the records) are responsible for the following procedures when the Notice of Intent to Destroy Forms (NA 13001) are received from Department of the Army.

- a. The Records Manager will review the NA 13001 Forms and will forward these forms along with a standard memorandum and copies of the SFs 135 (See Figure E-1) to the HQ functional proponents, ATTN: Records Management Coordinator.
- b. HQUSACE Records Management Coordinators will coordinate with functional proponents and will annotate, sign and date the back of the NA 13001 Form(s) in accordance with guidance in Figure E-1, advising whether or not records can be destroyed and providing justification for non-destruction. All backup documentation and the original annotated NA 13001 will be returned to the Records Manager.
- c. The Records Manager will annotate the SF 135.
- d. The Records Manager will prepare a memorandum to DA with NA 13001s attached. Records Manager will furnish a copy to the Office of History and retain file copies.

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CEIM-IR (25-400-2g)

MEMORANDUM FOR (Office which created the records)

SUBJECT: Notice of Intent to Destroy Records

1. References:

a. CEIM-IR/CEMP-R Memorandum, 11 February 1998, subject: Continued Moratorium on Destruction of Environmental Restoration Records.

b. AR 25-400-2, The Modern Army Recordkeeping System.

2. Enclosed is/are NA Form(s) 13001, Notice of Intent to Destroy Records, and copies of the SF 135, Records Transmittal and Receipt, pertaining to \_\_\_\_\_ documents in the custody of the Washington National Records Center (WNRC).

3. Request you review the enclosed notice(s) to determine if the files covered by the accession numbers listed are eligible for destruction. If destruction of the records by the WNRC on the disposal date identified is not appropriate, provide one of the following reasons on the back of the NA 13001 Form.

a. The records are incorrectly scheduled. (State the proper destruction date or indicate "Permanent", and cite the file number from AR 25-400-2).

b. A proposed change to the disposition instruction, in AR 25-400-2, has been submitted.

c. The records must be retained pursuant to moratorium or litigation (provide explanation). Moratoriums are currently imposed for records in the following categories: (List all current moratoriums or attach list as an enclosure.)

d. Moratoriums have been terminated for records relating to Agent Orange and other herbicides as well as records relating to Employment application and personnel security clearances files.

Figure E-1

CEIM-IR

SUBJECT: Notice of Intent to Destroy Records

4. If destruction of the records by the WNRC on the disposal date identified is appropriate at this time, annotate the back of the NA 13001 Form(s) "May be Destroyed" and sign/date the notice.
5. In addition to the DA moratoriums listed above in paragraph 3c, the Chief of Engineers has placed a moratorium on all Corps of Engineers Environmental Restoration Records (Superfund, DERP or other HTRW programs), (reference 1a above). If you are unsure that the records being destroyed may relate to environmental restoration, you may contact this office to request the records be recalled for review.
6. The WNRC has modified some of the accession numbers by adding a letter of the alphabet to the accession number usually after the year. Please consider this change when matching accession numbers on the NA 13001 Form with the accession number on your office copy of the SF 135, Records Transmittal and Receipt.
7. The POC for this action is \_\_\_\_\_. Return all backup documentation and the original annotated NA 13001 Form to CEHEC-IM.

Encl

SIGNATURE BLOCK

Figure E-1 (Continued)

## APPENDIX F

### DEFINITIONS

F-1. Accession: A block of records having the same disposition authority (MARKS No.) and the same disposal date.

F-2. Accession number: A three-part number will be assigned to each records shipment to the Washington National Records Center (WNRC). It consists of the USACE Records Group Number, the fiscal year, and a four-digit sequential number (077-98-0001). It is assigned by CEHEC-IM.

F-3. Dummy Folder: A Dummy Folder may be used if there are several folders under one file number. The label will contain all the required label entries and placed on a file folder that has been taped together. The folder should be placed at the beginning of the file series.

F-4. Guide: Guides may be used to divide file numbers for ease in locating the proper file folders within a drawer.

F-5. Standard File Folder: A straight cut file folder as shown on page D-3.